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# **GOVERNMENT OF THE DISTRICT OF COLUMBIA**

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## **RECORDS RETENTION SCHEDULE**

**Public Service Commission**



**Update: August 1, 2021**

# GOVERNMENT OF THE DISTRICT OF COLUMBIA

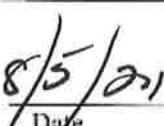
Office of Public Records

## REQUEST FOR APPROVAL OF AGENCY RECORDS RETENTION SCHEDULE

1. Agency	Public Service Commission	
2. Schedule No.	DCRS 21-0010	
3. Amendment/ Addendum No		
4. Contact Person		
5. Address		
6. Telephone No.		
7. Action Requested	a. Approval of agency records retention schedule	
	b. Approval of amendment/addendum to agency retention schedule	
c. Remarks		

Signature of Agency Representative	Title	Date
	Records Management Specialist	7/19/2021

### Approvals

 Signature of DC Archivist	<input checked="" type="checkbox"/> Approve	<input type="checkbox"/> Disapprove	 Date
 Signature of Public Records Administrator	<input type="checkbox"/> Approve	<input type="checkbox"/> Disapprove	 Date

# GOVERNMENT OF THE DISTRICT OF COLUMBIA

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# **GOVERNMENT OF THE DISTRICT OF COLUMBIA**

## **Introduction to Agency Retention Schedule**

### **The Importance of Records**

Records are the institutional memory of government. Every agency is responsible for creating and maintaining records that adequately document the organization, functions, policies, procedures, and major activities of the agency. An agency's records should reflect the evolution of agency policies and decisions, provide the information needed by successor officials to make intelligent decisions, and provide a lasting record of the unique contributions of the agency. Proper records must be kept to document the financial and legal commitments and interests of the government and of its citizens, and to permit oversight of an agency's activities.

### **Records Management**

It is not only important that every agency create and maintain adequate documentation, but also that it provide for the proper disposition of its records by adopting a comprehensive records management program. Such a program establishes controls over records from the time of their creation to the time of their final disposition. It seeks to (a) provide for the timely and systematic removal of inactive records from an agency and the eventual destruction of those of a temporary nature after an appropriate length of time; and (b) identify those records of such historical or other importance that they should be preserved permanently in the District of Columbia Archives. A records management program is vital to the efficient and economical operation of government. Without it, offices would be drowning in records, at tremendous costs to the government in space, filing equipment, staff, and general efficiency of operations.

### **Records Schedule**

The records schedule forms the heart of a good records management system. A schedule identifies those records of continuing value that are suitable for accessioning into the D.C. Archives and authorizes agencies to dispose of those records of temporary importance. A schedule is a detailed timetable that specifies the length of time records should be kept in active and inactive status prior to their final disposition. It prescribes how long a record should be maintained within an office before it may be destroyed, moved to low-cost storage in the D.C. Records Center, or transferred to the D.C. Archives to be preserved permanently.

There are two (2) types of records schedules: (1) an agency retention schedule; and (2) a general records schedule.

- (1) **Agency Retention Schedules** - The attached schedule is an agency retention schedule. It is based on a survey of the specific records created, received, utilized and maintained in the various offices of your agency, and its disposition instructions are tailored to those records unique to your agency. It provides legal authority for the disposition of official records of your agency alone.
- (2) **General Records Schedule** - In addition to agency records schedules, there are also general records schedules. These schedules provide disposition authority for records common to most or all agencies of government. They cover records relating to personnel, fiscal functions, accounting, budget, procurement, transportation, and other common or housekeeping functions. An agency may implement or utilize the disposition instructions of a general records schedule where applicable or may apply a retention period that differs from that in the general schedule by submitting a retention schedule for that particular record series. However, General Schedules do not apply to documents dated before January 1, 1921. If you have records in your office dated earlier than 1921, please contact the D.C. Archives for an appraisal of those records.

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The general records schedules that have been developed for the District of Columbia are embodied in D.C. General Records Schedules 1-18 and 20-24. The Office of Public Records is currently in the process of updating the DC General Schedule to reflect changes in the government, the implementation of new procedures, policies, and practices, as well technology over the past 30 to 40 years. Changes will be posted and agency records management officers will be notified.

## **Amending an Agency Records Retention Schedule**

An agency records retention schedule is not a static document, it must be reviewed and revised on a regular basis. The organization of an agency, its functions, and programs are constantly changing, and the schedule must be continually updated to incorporate these changes. Amendments to agency schedules may be initiated either by the agency or by the Office of Public Records. Regulation 1 DCMR 1504.1(h) requires Agencies to review schedule annually to insure that it is up-to-date and provides for the disposition of all series of records not covered by the general records schedules. In order to understand and apply the records retention schedule for your agency, it is important to define certain terms that are used in records management and archives.

## **What are Public Records?**

Public records are defined by the District of Columbia law as “any document, book, photographic image, electronic data recording, electronic mail, paper, video recording, sound recording, microfilm, computer disk, or other material, regardless of physical form or characteristic, that documents a transaction or activity made, received, or retained pursuant to law or in connection with the transaction of public business by or with any officer or employee of the District.” Records are made or received and utilized by an office as it conducts its business. They relate directly to the mission of an agency and document the functioning of an agency. Although a paper document is the most common form of a record, a record can be of any physical characteristic. Computer tapes and disks, sound and video recordings, photographs and motion picture film, microfilm, maps, and charts, may each constitute an official record. Records as defined above belong to the District of Columbia. In no sense are they the personal property of an individual. They may not be destroyed except under legal procedures established by the government. One of the major purposes of an approved agency records retention schedule is to provide authority for the legal disposition of official records.

## **What is Non-Record Material?**

Not every document in a government office is an official record. The following types of material are usually considered non-record: duplicate copies of documents; pamphlets, periodicals, books, printed reports, and other materials maintained for reference purposes; reference copies of Mayor’s Orders, Mayor’s Memoranda, and the D.C. Register; reading files (“chron files”); copies of memoranda, correspondence, reports, and similar materials received from other agencies that require no action; drafts of reports and correspondence and related working papers that don’t impact or are not considered essential to a final decision regarding policies, laws, and regulations, and that don’t demonstrate the thought processes and reasoning behind making those decisions; blank forms, transmittals, and routing slips; and materials relating to fringe activities of an agency such as charitable fund drives.

Non-record materials are disposable on agency authority alone. If you are unsure as to the status of certain kinds of material, please call the Office of Public Records for assistance.

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## **What are Personal Papers?**

Some officials and employees keep personal papers within their offices. These are documents of an unofficial, private nature that pertain to an individual's personal affairs and do not relate to official business. Such papers might include files accumulated by an official (or employee) before they assumed office, or documents relating to one's private concerns, such as outside business activities or memberships in professional organizations, or personal notes or diaries that are totally unrelated to public business.

It is important that such papers be kept apart from official records and that they are clearly labeled as private papers. Please take care to see that personal papers do not become intermingled and confused with official records.

## **Retention Schedule Basic Terms and Use:**

Close Date	The date or timeframe from which no further information may be added to a record.
Cutoff Date	After records close, a date or timeframe is selected as the "cut off", designating when the record becomes inactive. This date starts the retention timeclock and occurs at regular intervals. Please note, close and cut off may be the same date.
Destroy/Delete	Records may be destroyed or deleted in accordance with DC Code § 2-1701, and Agency policy. Care should be taken to ensure proper destruction of government records.
PHI	Personal Health Information defines the information covered under the HIPAA privacy rule. Federal protections apply to personal health information held by covered entities and gives patients an array of rights with respect to that information. At the same time, the privacy rule is balanced so that it permits the disclosure of personal health information needed for patient care and other important purposes.
PII	Personally Identifiable information (PII), or Sensitive Personal Information (SPI), as used in US privacy law, is information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context.
Remaining Retention in Records Center	Total retention period minus length of time records are maintained on-site. For permanent records, this is the remainder of the period that the records remain in the legal custody of the agency before transferring to the Archives.
Transfer of Records (Physical)	Upon completion of on-site retention, records may be transferred to the Records Center, the DC Archives or deleted. Records transferred to the Record Center remain in the legal custody of the Agency. FOIA requests for these records are sent to the Agency, and the Agency is responsible to respond and release information as appropriate.

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Transfer of Records (Legal)	Upon completion of on-site retention, records may be transferred to the Records Center, the DC Archives or deleted. Records transferred to the DC Archives transfer legal custody to the Archives. FOIA requests for these records are the responsibility of the Archives.
Total Retention	The total time a record is to be retained in the legal custody of the District after cut off.
Years in Office	Length of time records are maintained on-site at the Agency after cut off.

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# **GOVERNMENT OF THE DISTRICT OF COLUMBIA**

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## **Organization**

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Public Service Commission

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## **Policy and Procedures**

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Two hardcopies or a single electronic copy accompany this submission

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## **List of Chairpersons**

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Willie L. Phillips	12/18/2018	Current
Betty Ann Kane	3/1/2009	12/17/2018
Agnes M. Alexander Yates	6/1/2003	12/31/2008
Angel Cartagena	7/1/2000	5/30/2003
Edward M. Meyers	10/1/1999	6/30/2000
Marlene L. Johnson	12/4/1995	9/30/1999
Howard C. Davenport	1/1/1991	2/28/1995
Patricia Worthy Clement Worthy	7/1/1984	12/31/1990
Ruth Hankins-Nesbitt	1/1/1980	6/30/1984
Elizabeth H. Patterson	1/1/1978	12/31/1979
William R. Stratton	1/1/1974	3/4/1975
H. Mason Neely	7/1/1973	12/31/1973
Jeremiah C. Waterman	6/13/1971	6/30/1973
George A. Avery	10/8/1966	6/12/1971
James A. Washington Jr.	10/2/1961	10/7/1966
George E.C. Hayes	6/2/1955	6/30/1961
Robert E. McLaughlin	5/19/1953	6/1/1955
Kenneth W. Spencer	3/25/1950	5/31/1953
James H. Flanagan	8/31/1942	2/1/1953
Gregory Hankin	11/8/1941	8/31/1942
Charles W. Kutz	5/20/1941	11/8/1941
David McCoach Jr.	3/11/1941	5/21/1941
Riley E. Elgen	5/4/1934	2/28/1941
Mason M. Patrick	6/1/1929	9/30/1933
John W. Childress	6/24/2027	5/31/1929
J. Franklin Bell	6/25/1923	6/23/1927
Charles Keller	10/6/1921	4/11/1923
Charles W. Kutz	12/16/1918	10/5/1921
Louis Brownlow	7/16/2017	12/16/2018
Charles W. Kutz	10/31/1914	7/16/1917
Chester Harding	3/10/1913	10/31/1914

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## **Citations Impacting Retention**

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### **Federal**

2 CFR § 200.333 (Grants)

### **DC Legislation**

DC Code § 2-1701

DC Code § 2-1706

DCMR § 1-1504.1(d)

### **Court Orders**

None

## **Audits Impacting Retention**

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None

## Record Schedule

The Public Service Commission is an independent regulatory agency established by Congress in 1913. Pursuant to D.C. Code, Title 34, Chapter 8, the Public Service Commission of the District of Columbia serves the public interest by implementing ratemaking and other regulatory authority over electric, natural gas and telecommunications services. The mission of the Public Service Commission is to serve the public interest by ensuring that financially healthy companies provide safe, reliable and quality services at reasonable rates for the District of Columbia's residential, business and government customers.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
1	Formal Communications (Executive Staff) Formal communications that impact the mission or execution of the mission and programs of the agency. Series includes, but is not limited to, correspondence with the Mayor, Deputy Mayors, City Administrator, City Council, intra-agency, and inter-agency directives. Records are organized chronologically.  Restrictions: None  Media: Paper/Electronic (Secure agency network)  Permanent: Records close when the designated action is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention for 4 years and then transferred to the DC Archives.	Permanent	None	4 Years

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 RECORDS RETENTION SCHEDULE  
 [schedule number assigned by OPR]

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
2	Public Relations Files (Communications) Text, audio or video recordings of formal speeches, announcements, and remarks to the press. Remarks made at formal ceremonies or during interviews by the agency executive staff and other high-ranking officials concerning agency programs. Restrictions: None Media: Paper /Electronic (Secure agency network)			
a	Formal Interviews: Permanent: Records close upon conclusion of the interview and cut off at the end of the corresponding Mayor's administration. Records are transferred to the DC Archives within 30 days of cut off.	Permanent	None	None
b	News Releases: May be textual records such as a formal press releases or Non textual records, such as film and video or sound recordings. Restrictions: None. Media: Paper/ Electronic (Secure agency network) Permanent: Records close upon distribution of release and cut off at the end of the corresponding Mayor's administration. Records are transferred to the DC Archives within 30 days of cut off.	Permanent	None	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
3	Agency Policy and Procedures (Executive Staff) defining operational guidelines. Each Division within the Department arranges its policies in its own way. Restrictions: None Media: Paper and Electronic (Secure agency network) Permanent: Records close when the policy or procedure is superseded or becomes obsolete and cut off at the end of the fiscal year. Retain records on site four years after cut off, then transfer to the D.C. Archives.	Permanent	4 Years	None
4	Schedule of official activities of agency executive staff Restrictions: None Media: Paper / Electronic (Secure agency network) Permanent: Records close at the end of the fiscal year and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.	Permanent	None	4 Years

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
5	<p>Strategic Plans (Performance Management) Plans and supporting documentation utilized to set the strategic direction for the agency including, but not limited to studies, benchmarking of other jurisdictions, and statistical data supporting current and planned future state. These records are organized by subject and date.</p> <p>Restrictions: Restricted</p> <p>Media: Electronic (Secure agency network)</p> <p>Permanent: Records close when the plan is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	Permanent	None	4 Years
6	<p>Performance Reports (Performance Management) The Office of the Chief Operating Officer maintains statistical data regarding the population served, and types of services rendered. Statistics are both quantitative and qualitative in nature. This series does not include employee performance metrics. Records are arranged by topic and year.</p> <p>Restrictions: None</p> <p>Media: Paper / Electronic (Secure agency network/dc.gov)</p>			
a	<p>Published</p> <p>Permanent. Records close upon publication of the report and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	Permanent	None	4 Years

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
b	<b>Unpublished</b> Appraisal: Records close upon completion of the final version of the report and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the DC Archivist for Appraisal.	Appraisal required by DC Archivist		
7	<b>Project Subject Files (Executive Staff)</b> This record documents program-related projects and initiatives. Record consists of all documents and data relating to a specific project from inception to completion. Included are correspondence, memoranda, questionnaires, studies and reports, and related records. Excludes records that impact the mission or vision of the Director's Office which are to be retained permanently. Records are organized by subject. Restrictions: None Media: Paper / Electronic (Secure agency network) Appraisal: Records close upon completion or conclusion of the project and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the DC Archivist for Appraisal.	Appraisal required by DC Archivist		

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
8	Organization Files (Executive Staff) Organizational Charts and reorganization studies that define descriptions of the arrangement and administrative structure of the functional units within the agency. Organized by date. Media: Paper / Electronic (Secure agency network) Permanent: Records close when the version is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.	Permanent	None	4 Years
9	Publications (Communication) Publications on various topics of interest or concern that provide insight and awareness. Organized by topic and year. Restrictions: None Media: Paper / Electronic (Secure agency network, dc.gov)			
a	Printed Materials Permanent: Records close when published and cut off at the end of the corresponding Mayor's administration. Records are transferred to the DC Archives within 30 days of cut off.	Permanent	None	None
b	Agency Websites Media: Electronic (dc.gov) Permanent: Records close when published and cut off last day of the quarter (March, June, September, and December). Records are transferred to the DC Archives within 30 days of cut off.	Permanent	1 Quarter	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
c	Social Media Posts  Media: Electronic (Stored on Twitter, LinkedIn, and Facebook)  Permanent: Records close when published and cut off last day of the quarter (March, June, September, and December). Records are transferred to the DC Archives within 30 days of cut off.	Permanent	1 Quarter	None
10	Memorandums of Understanding: (Office of the Director) This record documents agreements between DOC and agencies to supply services. Memorandums of Understanding may cover paid and unpaid services and the record includes but is not limited to scope of work and documentation of responsibilities. This record is organized by agency. Examples of such memorandums are the production of license plates.  Restrictions: None  Media: Electronic (Sales Force)			
a	Under \$100,000  Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. Retain the record for 3 years after cut off, and then destroy.	Temporary 3 Years	3 Years	None
b	\$100,000 +  Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cut off and then destroy.	Temporary 6 Years	6 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
11	<p>Commission Meeting Minutes: This record document formal meetings of the commission, including executive sessions. These records may include but are not limited to an agenda, meeting minutes, briefing materials, and administrative tracking of meetings. Records are organized by date of meeting.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared Drive)</p> <p>Permanent: Records close upon acceptance of the minutes and cut off at the end of the fiscal year. Retain until the end of the current Mayoral administration. Transfer to the DC Archives within 30 days of cut-off.</p>	Permanent	None	None
12	<p>Grant Administration: This record documents the application, award and monitoring of grants awarded to the District by Federal agencies. Records may include, but not limited to applications, inspections, and reporting. This record is organized by grantor and year.</p> <p>Restrictions: None</p> <p>Media: Paper /Electronic (Shared Drive)</p> <p>Temporary: Records close when the final activity is made against the grant (service, payment, or report), and cut off at the end of the fiscal year. Retain records for 3 years after cut off, and then destroy.</p>	Temporary 3 Years	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
13	<p><b>Grant Case File:</b> This record documents award and tracking of grants awarded by the agency. Records may include but are not limited to notice of funding availability, request for applications, pre-application meeting materials, applications (Include tax Id's and W-9 forms), technical evaluations, monthly programmatic and financial reports. Records are organized by grant name.</p> <p>Restrictions: None</p> <p>Media: Paper /Electronic (Shared Drive)</p> <p>Temporary: Records close last activity or payment and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None

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## Office of Chairman and Commissioner's

The Commission is headed by a Chairman and two Commissioners, who are appointed to four-year terms by the Mayor, with the advice and consent of the District of Columbia Council.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
14	Passenger Transportation Files – This record documents Transportation request. The record includes but is not limited to vouchers, transportation requests, travel authorizations, transportation request registers, and all supporting papers. Record is organized by request type, date, and department.  Media: Paper Restrictions: None			
a	Travel Completed Temporary: Records close upon conclusion of the travel and payment of any funds owed to or from the District and cut off at the end of the fiscal year. Retain the record for 3 years after cut off and then destroy.	Temporary 3 Years	3 Years	None
b	Unused Tickets Temporary: Records close upon refund, use for another purpose, or determination that the tickets cannot be used. Records cut off at the end of the fiscal year. Retain the record for 2 years after cut off and then destroy.	Temporary 2 Years	2 Years	None

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### **Office of The General Counsel**

The Office of the General Counsel (OGC) is responsible for all legal issues involving the day-to-day operations of the Commission, as well as a broad spectrum of issues that relate to the Commission's regulatory responsibilities. OGC represents and advises the Commission on all actions and proceedings set forth in the enabling statute or any other legislation. The staff of attorneys prepare orders, advisory memoranda, and assist the Commissioners in conducting all proceedings of the Commission.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
15	Research Reports – This record documents any final reports, legal research (Westlaw, LexisNexis, etc.). The record includes but is not limited to associated records maintained on printed, electronic, or other media, that was developed using the data in an electronic records system. The record is organized by subject and date. Media: Paper/Electronic Restrictions: PII	Temporary 15 Years	12 Years	3 Years then destroy.
a	Working Papers Appraisal: Records close upon final action and cut off at the end of the fiscal year. Records are transferred within 30 days of cut off to the Record Center for Appraisal		Appraisal required by DC Archivist	
b	Results in action or informs decision Transfer to the Commission case file		Transfer to the Commission Case File	

## Office of Technical and Regulatory Analysis, Office of Compliance and Enforcement, Office of Infrastructure and System Planning -

The Deputy Executive Director for Regulatory Matters heads the Office of Technical and Regulatory Analysis (OTRA), which advises the Commissioners on accounting, economics, engineering, financial, compliance, enforcement, infrastructure and system planning issues in formal cases that are before the PSC. In addition, OTRA staff monitors electric, natural gas, and local telecommunications markets at the retail and wholesale levels. This includes keeping abreast of energy activities at the Federal Energy Regulatory Commission (FERC) and PJM Interconnection (the Regional Transmission Organization), as well as telecommunications activities at the Federal Communications Commission (FCC). OTRA also tracks and analyzes energy and telecommunications prices and activities at the local, regional, and federal levels.

The office also conducts compliance reviews, audits, inspections, annual surveys to gauge the status of local competition in the District; helps manage formal cases and investigations and enforces compliance of service providers. The Office of Infrastructure and Systems Planning (OISP) provides professional engineering design, planning, construction, and replacement, operation and maintenance advice to the Commissioners on all infrastructures and systems utilized by the electric, natural gas and local telephone companies. OTRA is currently coordinating the Commission's oversight of Pepco's DC Power Line Undergrounding Initiative (DC PLUG) and WGL's Accelerated Pipeline Replacement Program (APRP). Concurrently, OTRA staff administers the federally funded Natural Gas Pipeline Safety Program, the District's One Call program, and educates Commissioners, staff, and the public, directly and through the website and outreach activities, on current and emerging issues.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
16	<p>Program System Master Files- Records created, received or produces by a contractor or grantee, to document, implement, direct , monitor, support, study or operate agency programs.</p> <p>Restrictions: Limited Distribution</p> <p>Media: Electronic</p> <p>Temporary: Records close when the District discontinues use of the application and cut off at the end of the fiscal year. Retain records until the related master file or database is deleted pursuant to an approved retention schedule authorizing deletion of the stored data or until the data is transferred to a new application.</p>	<p>Temporary Until data is transferred or deleted</p>	<p>Until data is transferred or deleted</p>	None
17	<p>Research Reports – This record documents any final reports, legal research (Westlaw, LexisNexis, etc.). The record includes but is not limited to associated records maintained on printed, electronic, or other media, that was developed using the data in an electronic records system. The record is organized by subject and date.</p> <p>Media: Paper/Electronic</p> <p>Restrictions: PII</p> <p>Permanent. Records close upon publication of the report and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	Permanent	4 Years	<p>None</p> <p>Courtesy copy maybe maintained in the agency</p>

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**Office of the Deputy Executive Director**

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
18	<p>Contract Files: Above \$100,000 (Procurement) This record documents the procurement process for contracts that involve products/services which are worth 100,000 USD or more. This record has six different sections depending on the stage of the contractual process. Throughout those stages the record may include but is not limited to solicitation, and bids/proposals, correspondence, best and final offers, business clearance, source selection consensus report, EEO compliance, clean hands compliance documents, purchase orders, general correspondence and deliverable reports. This record is organized by agency name and contact number.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (PASS)</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. Retain the record for 3 years after cut off, and then transfer to the Record Center for 3 years.</p>	Temporary 6 Years	3 Years	3 Years

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
19	<p>Contract Files: Below \$100,000 (Procurement) This record documents the procurement process for contracts that involve products/services which are worth less than 100,000 USD. This record has six different sections depending on the stage of the contractual process. Throughout those stages the record may include but is not limited to market research and analysis, bids/proposals best and final offers, non-disclosure statements, clean hands compliance, notice of contract award, and purchase order.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic(PASS)</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. Retain the record for 3 years after cut off, and then destroy.</p>	Temporary 3 Years	3 Years	None
20	<p>Unopened Bids- This record documents the a process for a formal solicitation that results in unopened bids. The cause may be but is not limited to the cancellation of the solicitation, withdrawal of the solicitation, or the response received after the close of the solicitation. Records are organized by solicitation number.</p> <p>Restrictions: Restricted</p> <p>Media: Paper</p> <p>Temporary: Records close upon receipt and cut off at the end of the fiscal year. Retain records for 3 years after cutoff, and then destroy.</p>	Temporary 3 Years	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
21	<p>Lost or Damaged Shipment Files: This record documents the loss or damage of an agency asset resulting from shipment under the Government Losses in Shipment Act. Records may include but are not limited to notification of loss or damage, shipping documentation, estimated value of the item, and recoupment value. Records are organized by date of loss or damage.</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Temporary: Records close upon case closure, and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None

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## Office of the Agency Fiscal Officer

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
22	Administrative Files Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. Restrictions: None Media: Paper and Electronic (Agency Secure Network) Temporary: Records close and cut off at end of the fiscal year. Destroy when no longer needed for administrative or reference purposes.	Temporary Cutoff at end of Fiscal Year	None	None
23	Contract Administration-Agency Copies (Agency Procurement Staff) Files containing documentation pertaining to the acquisition of procuring physical goods, services, products, and personal property. Procurement files consists of contracts, requisitions, purchase orders work orders, invoices. Organized by Fiscal year. Restrictions: None Media: Paper/Electronic (Agency Secure Network, PASS)		3 Years	None
a	Under \$100,000 Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 3 years after cutoff, and then is prepared for confidential destruction.			

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
b	\$100,000 + Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cutoff, and then is prepared for confidential destruction.	Temporary 6 Years	6 Years	None
24	Audits-Internal: This record documents internal audits conducted by agency to ensure quality practices and standards are utilized in eligibility determinations. Records may include but are not limited to topic of audit, date of audit, annual management review schedule, internal audit observation form, administrative review checklist, lead auditor checklist, audit results and corrective actions. Records are organized by subject of audit and date.	Permanent	3 Years	None
25	Restrictions: None Media: Electronic (Shared Drive)  Permanent: Records close upon publication of audit report and satisfaction of all corrective actions, whichever is later, and cut off at the end of the fiscal year. Retain audits for 3 years after cut off and then transfer to the DC Archives.	Temporary 3 Years	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
26	<p>Journal Entries (Finance) This record documents transfers of expenses and /or budget to align with the appropriate accounting codes. Examples of such transfers would be year end accruals of penalty and interest, deferred revenue or accounts receivables posted but not paid. Records are organized in chronological order.</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Temporary: Records close and cut off at the end of the fiscal year. Retain records for 5 years after cut off and then transfer to the Record Center to complete retention for an additional 5 years.</p>	<p>Temporary 10 Years</p>	<p>5 Years</p>	<p>5 Years</p>
27	<p>Investigations: This record documents the resolution of concerns related to the intake or disbursement of funds, including deposits, vendor selection, payment or procedure. This record includes but is not limited to name of parties, contact information, company contact, nature of the investigation and the final determination. This record is organized by year and subject/name.</p> <p>Restriction: None</p> <p>Media: Paper/Electronic (S Drive)</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. Retain the record for 10 years after cut off, and then destroy.</p>	<p>Temporary 10 Years</p>	<p>10 Years</p>	<p>None</p>

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
28	<p>Budget Formulation Files: This record documents the development of periodic operating budgets. Records may include but are not limited to requests and justification for budget allocations, and analysis of impact to performance measures. Organized by fiscal year.</p> <p>Restrictions: Restricted</p> <p>Media: Electronic (Shared Drive)</p> <p>Temporary: Records close and cut off at the end of the fiscal year covered by the budget. Retain records for 2 years after cutoff, and then destroy.</p>	<p>Temporary: 2 Years</p>	<p>2 Years</p>	<p>None</p>
29	<p>Budget Monitoring and Management: This record documents the tracking of expenditures and invoice/purchase card reconciliations within a fiscal year. Records may include but are not limited to correspondence, reconciliation of expenditures, advanced planning documents, memorandum of understanding, and purchase card load tracking. Records are organized by fiscal year.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared Drive)</p>	<p>Temporary: 3 Years</p>	<p>3 Years</p>	<p>None</p>
a	<p>Working Papers</p> <p>Temporary: Records close and cut off at the end of the fiscal year. Retain records for 3 years after cutoff and then destroy.</p>	<p>Temporary: 3 Years</p>	<p>3 Years</p>	<p>None</p>
b	<p>Reports</p> <p>Permanent: Records close when published and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cutoff to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	<p>Permanent</p>	<p>None</p>	<p>4 Years</p>

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
30	<p>Grant Administration: This record documents the application, award and monitoring of grants awarded to the District by Federal agencies. Records may include, but not limited to applications, inspections, and reporting. This record is organized by grantor and year.</p> <p>Restrictions: None</p> <p>Media: Paper /Electronic (Shared Drive)</p> <p>Temporary: Records close when the final activity is made against the grant (service, payment, or report), and cut off at the end of the fiscal year. Retain records for 3 years after cut off, and then destroy.</p>	Temporary 3 Years	3 Years	None
31	<p>Grant Case File: This record documents award and tracking of grants awarded by the agency. Records may include but are not limited to notice of funding availability, request for applications, pre-application meeting materials, applications (include tax ID's and W-9 forms), technical evaluations, monthly programmatic and financial reports. Records are organized by grant name.</p> <p>Restrictions: None</p> <p>Media: Paper /Electronic (Shared Drive)</p> <p>Temporary: Records close last activity or payment and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
32	<p>Financial Disclosure Records: This record documents compliance with the annual requirement that employees who advise, make decisions or participate substantially in areas of contracting, procurement, administration of grants or subsidies, developing policies, land-use planning, inspecting, licensing, policy-making, regulating, or auditing, or acts in areas of responsibility that may create a conflict of interest or appearance of a conflict of interest, as determined by the appropriate agency head, shall file a report including by not limited to the name of each business entity in which the employee or his family has an interest; receives an honoraria, or holds a significant position (Reference DC Code § 1-1162.24 and § 1-1162.25). This record is organized by last name, first name.</p> <p>Restrictions: PII</p> <p>Media: Paper/Electronic (Shared Drive)</p> <p>Temporary: Records close and cut off at the end of the fiscal year.                      Retain record for 6 years after cut off and then destroy.</p>	Temporary 6 Years	6 Years	None
33	<p>Imprest Fund (Petty Cash): This record documents the booking that track agency's petty cash expenditures. This record includes but is not limited to small purchases receipts, cash box balance sheet and monthly audit count sheets from the Office of Risk Management (OFRM). This record is organized as a monthly file.</p> <p>Restrictions: PII</p> <p>Media: Paper</p> <p>Temporary: Records close and cut off at the end of the fiscal year.                      Retain the record for 3 years after cut off, and then destroy.</p>	Temporary 3 Years	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
34	<p>General Accounting Ledgers: This record documents a summary of expenditures for a given time period. Records may include payee or payor name, description of product or service, debit or credit amount, and date of transaction. Records are organized by Fiscal Year.</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Temporary: Records close, and cut off at the end of the fiscal year. Retain records for 5 years onsite, and then transfer to the record center for 5 years before destroying.</p>	Temporary 10 Years	5 Years	5 Years

## Office of the Commission Secretary

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
35	<p>Audiovisual Files: This record documents activities and events sponsored by the Commission and includes still photographs, motion picture film, sound recordings, video recordings, and related documentation.</p> <p>Records are organized by type of event and date.</p> <p>Restrictions: None</p> <p>Media: Various</p> <p>Appraisal: Records close upon completion of the fully edited version of the record and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for appraisal.</p>	<p>Appraisal</p>	<p>End of Current Mayor's Term</p>	<p>Appraisal</p>
36	<p>Commission Case Files: The commission hears cases in the District regarding electric, natural gas and telephone companies serving the city. Records may include but are not limited to complaints, concerns regarding regulations, filings, testimony and rulings. Records are organized by docket number.</p> <p>Restrictions: None</p> <p>Media: Electronic</p> <p>Permanent: Records close upon final determination or exhaustion of all appeals, whichever is later. Records cut off at the end of the fiscal year. Retain records for years, than transfer to the DC Archives.</p>	<p>Permanent</p>	<p>5 Years</p>	<p>None</p>
37	<p>Docket of Cases: This record documents cases submitted to PSC that will be formally reviewed by the commission. The formal list is published to the agency website.</p>			

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
a	<p>Formal list of cases published to the website organized by docket number</p> <p>Restrictions: None</p> <p>Media: Electronic</p> <p>Permanent: Records close when published and cut off last day of the quarter (March, June, September, and December). Records are transferred to the DC Archives within 30 days of cut off.</p>	Permanent	Permanent Copy in the Agency	None
b	<p>E-Docket Request Forms: This record documents requests by parties to submit documentation electronically.</p> <p>Restrictions: PII</p> <p>Media: Electronic</p> <p>Temporary: Records close and cut off at the end of the fiscal year. Retain records for 2 years, then destroy.</p>	Temporary 2 Years	2 Years	None

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### Office of Consumer Services

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
38	Consumer Complaints: This record documents formal complaints submitted to the commission regarding electric, natural gas and telecommunications services.			
a	Log of all complaints Permanent: Record closes and cuts off at the end of the fiscal year. Retain record for 12 years and then transfer to the Archives.	Permanent	12 Years	None
b	Complaint Documentation: Cases that result in Hearing or appeal Transfer to case file.	Transfer to case file	Permanent Copy	
c	Complaint Documentation: Cases that do not result in a Hearing or appeal Temporary: Records close upon determination that a hearing will not be required and cut off at the end of the fiscal year. Retain record for 10 years after cut off and then destroy.	Temporary 10 Years	10 Years	None

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### Office of Human Resources

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
39	<p>Human Resources Records Files (Agency Copy): This record documents the tracking of on-boarding, performance measures, disciplinary actions, extended leave requests and payroll of agency employees. This record may include but is not limited to employee relations complaints, fitness for duty and background investigation results, training acknowledgements, merit case files and performance improvement plans. These records are organized by employee name and alphabetically.</p> <p>Restrictions: PII                      Media: Paper/Electronic (HR Shared drive, PeopleSoft)</p>			
a	<p>Unit File (Consists of routine documentation of employment, attendance, promotions, fitness for duty, performance improvement plans)</p> <p>Temporary: Records close upon employee's transfer or separation and cut off at the end of the fiscal year. Retain record for 1 year after cutoff and then destroy.</p>	Temporary 1 Year	1 Year	None
b	<p>Grievance and Disciplinary Actions</p> <p>Temporary: Records close upon final determination and cut off at the end of the fiscal year. Retain the record for 5 years, and then destroy.</p>	Temporary 5 Years	5 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
40	<p>Position Classification Files (Human Resources) This record documents review and approval process to classify positions. Records may include but are not limited to establishment or updating of position classifications, reduction in force actions and analysis, names of employees impacted by classification work and the associated agency, classification surveys and audit reports and correspondence. Records are organized by name of agency and date.</p> <p>Restrictions: PII          Media: Paper/Electronic (PeopleSoft, shared drive)</p>			
	<p>a Establishment and Updates          Temporary: Records close when the classification is superseded or becomes obsolete and cut off at the end of the fiscal year. Retain the record for 5 years after cut off and then destroy.</p>	Temporary 5 Years	5 Years	None
	<p>b Case Files          Temporary: Records close upon final action or exhaustion of all appeals and cut off at the end of the fiscal year. Retain the record for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None
41	<p>Equal Employment Opportunity (EEO) Case Files          These records are the investigator's work papers related to Equal Employment Opportunity (EEO) complaints by DOES employees against the Agency.</p> <p>Restrictions: None          Media: Paper</p>	4 Years	4 Years	None
	<p>Temporary: Records close upon satisfaction of all requirements outlined in the final report and cut off at the end of the fiscal year. Retain records for 4 years and then destroy.</p>			

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Series #	Records Series Description	Total Retention	Years in Office	Remaining	Retention	in	Records	Center
42	Time and Attendance Reporting: The record documents time reporting. Records may include but are not limited to daily assignment rosters, time sheets, and leave slips. Records are organized by employee name. Restrictions: None Media: Paper Temporary: Records close daily and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.	Temporary 3 Years	3 Years, then destroy	3	Years,	None		

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**Administrative Records** The records covered in this section relate to routine internal administrative and housekeeping activities are generally facilitative or informational. *They are not basic program records and are not part of official program files.* They are often extra copies of documents whose record copies must be scheduled by submitting a request for records disposition authority.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
43	Asset Inventory (Facilities Manager) Inventory of physical assets (non-transitory) held by the agency, including furniture, technology equipment, or other physical assets. Inventories are organized by Control ID and Asset Name, and record both location and the last inventory date.  Restrictions: None  Media: Paper	Temporary 2 Years	2 Years	None

Temporary: Records close and cut off when superseded. Retain records for 2 years after cut off, and then destroy.

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
44	Records Disposition Files (Records Manager) Basic documentation of records description and disposition programs, including but not limited to: <ul style="list-style-type: none"> <li>• Retention Schedules</li> <li>• SF135-Records Transmittal and Receipt</li> <li>• Requests for Records Disposition Authority</li> <li>• Notice of intent to destroy</li> <li>• Confirmation of Destruction of Records</li> </ul> Organized by date and type of file.	Permanent	Permanent	None
45	Working Papers Project background records, analyses, notes, drafts, and interim reports  Restrictions: None			
a	Media: Paper and Electronic (Agency Secure Network)  With Final Action			
	Appraisal required by DC Archivist			
	Appraisal: Records close upon final action and cut off at the end of the fiscal year. Records are transferred within 30 days of cut off to the Record Center for Appraisal			